

**DEPARTMENT OF  
FINANCIAL INSTITUTIONS  
1025 CAPITAL CENTER DRIVE, SUITE 200  
FRANKFORT, KY 40601**

**APPLICATION FOR MORTGAGE LOAN COMPANY  
AND/OR MORTGAGE LOAN BROKER  
LICENSE EXEMPTION  
FOR THE REAL ESTATE OR SECURITIES INDUSTRY**

Application is hereby made to the Commissioner, Department of Financial Institutions,  
for the following Exemption under KRS Chapter 294.

1. Name of Applicant \_\_\_\_\_  
(if **Individual**, submit Social Security Number \_\_\_\_\_)
2. Complete Business Address of Applicant (street, city, state, zip code)  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
3. Telephone Number \_\_\_\_\_  
FAX Number \_\_\_\_\_  
E-Mail Address \_\_\_\_\_
4. Under what specific section of KRS Chapter 294 do you request Exemption?  
\_\_\_\_\_  
(**submit supporting documentation** – Kentucky Real Estate License, License  
Number, CRD Registration Number, etc.)
5. Has the Applicant, or any of its owners, officers or directors, ever been subject to any  
State or Federal Regulatory Action? \_\_\_\_\_  
(if **YES**, submit explanation and any supporting documentation)
6. Has the Applicant, or any of its owners, officers or directors, been convicted of any  
FELONY within the previous five-year period OR **ever** had any Misdemeanor or  
Felony conviction involving **FRAUD of any type**. \_\_\_\_\_  
(if **YES**, submit explanation and any supporting documentation)
7. Submit a **\$150 check** payable to “**Kentucky State Treasurer**”.

**I hereby certify that I have truthfully completed this application.**

\_\_\_\_\_ (Applicant Signature)